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NOTICE OF ALLOWANCE AND FEE(S) DUE

23838 7590 02/09/2011 KENYON & KENYON LLP 1500 K STREET N.W. SUITE 700

WASHINGTON DC 20005

EXAMINER							
SEE, CAROL A							
ART UNIT	PAPER NUMBER						
3603	•						

DATE MAILED: 02/09/2011

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/743,143	12/23/2003	Thomas M. Schaub	11884 / 406701	7478

TITLE OF INVENTION: ENTERPRISE MANAGEMENT APPLICATION PROVIDING AVAILABILITY CONTROL CHECKS ON REVENUE BUDGETS

BUDGETS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	05/09/2011

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 1SI. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

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B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and I/2 the ISSUE FIEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

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Complete and send this form, together with applicable fee(s), to: Mail Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

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CURRENT CORRESPONDENCE ADDRESS (Noz:: Use Block 1 for any change of address)				Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.					
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KENYON & K 1500 K STREET SUITE 700	N.W.				I her State addr trans	eby certify that thi	is Feets	Transmittal is being	deposited with the United t class mail in an envelope above, or being facsimile tte indicated below.
WASHINGTON	, DC 20005								(Depositor's name)
					ᆫ				(Signature)
					ᆫ				(Date)
APPLICATION NO.	FILING DATE			FIRST NAMED INVEN	TOR		ATTO	RNEY DOCKET NO.	CONFIRMATION NO.
10/743,143	12/23/2003			Thomas M. Schau	ıb		- 1	1884 / 406701	7478
TITLE OF INVENTION BUDGETS									
APPLN, TYPE	SMALL ENTITY	ISS	SUE FEE DUE	PUBLICATION FEE I	UE	PREV. PAID ISSUE	FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO		\$1510	\$300		\$0		\$1810	05/09/2011
EXAM	INER		ART UNIT	CLASS-SUBCLASS	3				
SEE, CA	ROL A		3693	705-035000					
"Fee Address" indi PTO/SB/47; Rev 03-0 Number is required. 3. ASSIGNEE NAME A	ess an assignee is ident 1 in 37 CFR 3.II. Comp	" Indica ed. Use A TO B	tion form e of a Customer E PRINTED ON T		rnativ single or a attor II be or typ he pa g an	ely, firm (having as a gent) and the name meys or agents. If a printed. e) ttent. If an assignassignment.	memb es of up no nam ee is id	er a 2o to e is 3	ocument has been filed for
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	SMALL ENTITY state	is. See 3	37 CFR 1.27.					TITY status. Sec 37 CF	
NOTE: The Issue Fee and interest as shown by the r	d Publication Fee (if req ecords of the United Sta	uired) v tes Pate	vill not be accepted ent and Trademark	d from anyone other to Office.	han th	ne applicant; a regi	stered a	ittorney or agent; or th	e assignee or other party in
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This collection of inform an application. Confident submitting the completed this form and/or suggesti Box 1450, Alexandria, V Alexandria, Virginia 223	ation is required by 37 C iality is governed by 35 application form to the ons for reducing this bu- irginia 22313-1450. DC 13-1450.	FR 1.3 U.S.C. USPT rden, sh D NOT	11. The informatic 122 and 37 CFR O. Time will vary lould be sent to the SEND FEES OR O	on is required to obtain 1.14. This collection in depending upon the e Chief Information C COMPLETED FORM	or nois esti indivi office IS TO	etain a benefit by the imated to take 12 r idual case. Any co r, U.S. Patent and D THIS ADDRESS	ne publ ninutes mment Traden SENI	ic which is to file (and to complete, includin s on the amount of tir nark Office, U.S. Depa D TO: Commissioner I	by the USPTO to process) g gathering, preparing, and ne you require to complete rtment of Commerce, P.O. or Patents, P.O. Box 1450,

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23838 75	90 02/09/2011	EXAMINER			
KENYON & KE	NYON LLP		SEE, CAROL A		
1500 K STREET N	I.W.		ART UNIT	PAPER NUMBER	
	SUITE 700 WASHINGTON, DC 20005			1	

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 706 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 706 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Application No. Applicant(s) 10/743,143 SCHAUB ET AL. Notice of Allowability Examiner Art Unit Carol See 3693 -- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTQL-85) or other appropriate communication will be mailed in due course. THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS. This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFB 1.313 and MPEP 1308. This communication is responsive to The allowed claim(s) is/are 6,7,10-13,15-19 and 21. 3. Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) \square All b) ☐ Some* c) ☐ None of the: 1. T Certified copies of the priority documents have been received. 2. Certified copies of the priority documents have been received in Application No. 3. Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)). * Certified copies not received: _____. Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. THIS THREE-MONTH PERIOD IS NOT EXTENDABLE. 4. A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient. CORRECTED DRAWINGS (as "replacement sheets") must be submitted. (a) Including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached 1) Thereto or 2) to Paper No./Mail Date (b) I including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d). 6. DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL. Attachment(s) 1. Notice of References Cited (PTO-892) 5. Notice of Informal Patent Application 2. Notice of Draftperson's Patent Drawing Review (PTO-948) Interview Summary (PTO-413). Paper No./Mail Date Information Disclosure Statements (PTO/SB/08). 7. X Examiner's Amendment/Comment Paper No./Mail Date 4. T Examiner's Comment Regarding Requirement for Deposit 8. X Examiner's Statement of Reasons for Allowance of Biological Material 9. Other _____.

/James A. Kramer/

Supervisory Patent Examiner, Art Unit 3693

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EXAMINER'S AMENDMENT

 An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Attorney Martin Miller on 1/28/2011 and follow-up on 1/31/2011.

IN THE CLAIMS:

- 1-5. (Cancelled)
- (Currently Amended) A computer-implemented enterprise management system, comprising:

a revenue budget ledger database to configured to store a plurality of revenue budget items representing a budget defined for an organization utilizing an enterprise management application;

a revenue budget postings ledger database <u>configured</u> to store revenue items generated from various transactions and already admitted to the enterprise management system;

a plurality of Availability Control (AVC) ledgers of an Availability Control system, each ledger comprising an AVC Availability Control rule set related to a control object(s), and a database configured to store aggregated values of revenue budget items from the revenue budget ledger database and revenue items from the revenue budget postings ledger database that are operands to the control object(s) in the AVC Availability Control rule set of the ledger;

a transaction manager, executing on a configured to execute on a computer processor, the computer processor configured to:

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receive new revenue transactions which include a revenue value from new posted-revenue transactions,

store the <u>new</u> revenue transactions in a transactions database, and determine whether each <u>new</u> revenue transaction affects any control objects listed in any one of said Availability Control (AVC) ledgers;

an Availability Control manager, executing on configured to execute on the computer processor, the computer processor configured to:

receive from the transaction manager an indication of the control object affected by the new revenue transaction and the revenue value of the new revenue transaction:

responsive to receipt of the <u>new</u> revenue value <u>peeted obtained</u> from a <u>the received</u> new revenue transaction, accessing an <u>AVG Availability Control</u> rule in one of the plurality of <u>AVG Availability Control</u> ledgers containing the aggregated values of <u>the revenue peetings revenue items from the revenue budget postings ledger database</u> and revenue budget items relevant to the affected control object.

compare an aggregated value of previously-posted revenue value retrieved from a source address in the AVG <u>Availability Control</u> rule related to the affected control object with a <u>new aggregated</u> value determined using including the revenue value of the new posted revenue transaction;

determine from the result of the comparison, whether a limit to how much revenue may be posted for the control object has been exceeded according to a relationship defined by the AVG <u>Availability Control</u> rule, and

cause the transaction manager to reject the new revenue transaction based on the results of the determination.

 (Currently Amended) The computer-implemented enterprise management system of claim 6, wherein the aggregated values are generated <u>according to an</u> <u>aggregation scheme</u> for executing the AVC <u>Availability Control</u> rule, the <u>aggregation</u> Application/Control Number: 10/743,143

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scheme identifying a type of summation to be performed on the revenue items and revenue budget items.

- (Cancelled).
- (Cancelled).
- 10. (Currently Amended) An Availability Control (AVC) method for an Availability Control system, the method comprising:

determining, by a <u>computer processor</u>, in response to a proposed posting of <u>a</u> <u>new</u> revenue <u>transaction</u> to an enterprise management application, whether a revenue calculation of any control objects stored in one of a plurality of AVC <u>Availability Control</u> ledgers would use a <u>new revenue value from</u> the proposed posting <u>of the new revenue transaction</u> in a revenue calculation, wherein each ledger of the plurality of AVC <u>Availability Control</u> ledgers comprises an AVC <u>Availability Control</u> rule set related to at least one of a plurality of control objects, and a database for storing aggregated values of revenue budget items from a revenue budget ledger database and revenue items from a revenue budget postings ledger database that are operands to at least one of a plurality of control object in the AVC Availability Control rule set of the ledger;

identifying, by a <u>computer</u> processor, at least one of the plurality of control objects as a control object using the proposed posting <u>of the new revenue transaction</u> in a revenue calculation:

executing, by a computer processor, AVG <u>Availability Control</u> rules from the AVG <u>Availability Control</u> ledger for each identified control object, the AVG <u>Availability Control</u> rules testing whether the <u>proposed posting of the new revenue transaction</u> would exceed <u>cause</u> revenue limits <u>to be exceeded</u> for the identified control object in the AVG <u>Availability Control</u> rule set of the AVG <u>Availability Control</u> ledger, and

rejecting bleeking, if any AVC-rule is violated by the <u>proposed</u> posting prepesed from being admitted to an enterprise management system, if any Availability Control rule is violated by the proposed posting of the new revenue transaction and if the AVC Availability Control rule identifies the violation as an error as a response thereto, the

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posting from being admitted wherein a rule is violated when the admitting the posting would cause revenue limits to be exceeded for the identified control object.

11. (Currently Amended) The AVG <u>Availability Control</u> method of claim 10, wherein the executing comprises:

retrieving from an AVC <u>Availability Control</u> database of the(AVC <u>Availability Control</u> ledger containing the identified control object, a postings operand generated from an aggregation of previously-admitted postings <u>of revenue</u> values <u>or items</u> addressed by the control object, and

determining whether the postings operand satisfies a test relationship stored in the rule set of the AVC Availability Control ledger specified for the identified control object.

12. (Currently Amended) The AVG Availability Control method of claim 10, wherein the executing comprises:

retrieving from an AVC Availability Control database of the AVC Availability

Control ledger containing the identified control object, a postings operand generated from an aggregation of previously admitted postings of revenue values or items addressed by the control object and from a new revenue posting value, and

determining whether the postings operand satisfies a test relationship stored in the rule set of the AVG <u>Availability Control</u> ledger specified for the identified control object.

- (Currently Amended) The AWG <u>Availability Control</u> method of claim 12, further comprising storing the postings operand in the database of the AVG <u>Availability Control</u> ledger associated with the control object.
- 14. (Cancelled).

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15. (Currently Amended) The AVG <u>Availability Control</u> method of claim 10, further comprising performing the determining, the executing and, if necessary the <u>rejecting blecking</u> for each of a plurality of <u>AVG <u>Availability Control</u> rule sets related to the identified control object.</u>

16. (Currently Amended) A computer readable medium having with program instructions stored thereon that, when executed, cause an executing device to:

responsive to a proposed postings of a <u>new</u> revenue <u>transaction</u> to an enterprise management application, determine whether the <u>a</u> revenue calculation for any control objects stored in one of a plurality of AVC <u>Availability Control</u> ledgers would use the <u>new revenue transaction</u> in a revenue calculation, wherein each ledger of the plurality of AVC <u>Availability Control</u> ledgers comprises an AVC <u>Availability Control</u> rule set related to at least one of a plurality of control objects, and a database for storing aggregated values of revenue budget items from a revenue budget ledger database and revenue items from a revenue budget database that are operands to at least one of a plurality of control objects in the AVC Availability Control rule set of the ledger;

identify the at least one of a plurality of control objects as a control object using the proposed posting in a revenue calculation;

reject the posting from being admitted to an enterprise management system if any AVC Availability Control rule is violated by the proposed revenue posting causing revenue limits to be exceeded for the identified control object and if the AVC Availability Control rule identifies the violation as an error. as a response therete, block the posting from being admitted.

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17. (Currently Amended) The computer readable medium of claim 16, having instructions stored thereon that further cause the executing device to:

retrieve from an AVC <u>Availability Control</u> database of the AVC <u>Availability Control</u> ledger containing the identified control object, a postings operand generated from an aggregation of previously-admitted postings <u>of revenue</u> values <u>or items</u> addressed by the control object, and

determine whether the postings operand satisfies a test relationship stored in the rule set of the AVC <u>Availability Control</u> ledger specified for the control object.

18. (Currently Amended) The computer readable medium of claim 16, having instructions stored thereon that further cause the executing device to:

retrieve from an AVC <u>Availability Control</u> database of the AVC <u>Availability Control</u> ledger containing the identified control object, a postings operand generated from an aggregation of previously-admitted postings <u>of revenue</u> values <u>or items</u> addressed by the control object and from a new revenue posting value, and

determine whether the postings operand satisfies a test relationship stored in the rule set of the AVC Availability Control ledger specified for the control object.

- 19. (Currently Amended) The computer readable medium of claim 16, having instructions stored thereon that further cause the executing device to store the postings operand in the database of the AVC <u>Availability Control</u> ledger associated with the control object.
- (Cancelled).
- 21. (Currently Amended) The computer readable medium of claim 16, having instructions <u>stored thereon</u> that further cause the executing device to perform the determination, the execution and, if necessary the <u>rejecting blocking</u> for each of a plurality of AVC Availability Control rule sets related to the identified control object.

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at Oliit. 0000

- 22. (Canceled).
- 23. (Canceled).
- (Canceled).
- 2. The following is an examiner's statement of reasons for allowance:

The closest prior art, Zawadzki et al. (U.S. 7,107,268) shows a project management system and method that sets expenditures against budget items in a budget and prevents spending more money than is available (col. 41, lines 10-60).

The prior art fails to teach or suggest a system or method that operates on revenue-generating transactions that limits the amounts of revenue according to specific Availability Control rules. The prior art fails to show a revenue budget ledger database configured to store a plurality of revenue budget items representing a budget defined for an organization utilizing an enterprise management application; a revenue budget postings ledger database configured to store revenue items generated from various transactions and already admitted to the enterprise management system; a plurality of Availability Control ledgers of an Availability Control system, each ledger comprising an Availability Control rule set related to a control object(s), and a database configured to store aggregated values of revenue budget items from the revenue budget ledger database and revenue items from the revenue budget postings ledger database that are operands to the control object(s) in the Availability Control rule set of the ledger; a transaction manager configured to execute on a computer processor, the computer processor configured to: receive new revenue transactions which include a revenue value, store the new revenue transactions in a transactions database, and determine

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whether each new revenue transaction affects any control objects listed in any one of said Availability Control ledgers: an Availability Control manager, configured to execute on a computer processor, the computer processor configured to: receive from the transaction manager an indication of the control object affected by the new revenue transaction and the revenue value of the new revenue transaction; responsive to receipt of the new revenue value obtained from the received new revenue transaction, access an Availability Control rule in one of the plurality of Availability Control ledgers containing the aggregated values of revenue items from the revenue budget postings ledger database and revenue budget items relevant to the affected control object. compare an aggregated value of previously-posted revenue value retrieved from a source address in the Availability Control rule related to the affected control object with a new aggregated value including the revenue value of the new revenue transaction; determine from the result of the comparison, whether a limit to how much revenue may be posted for the control object has been exceeded according to a relationship defined by the Availability Control rule, and cause the transaction manager to reject the new revenue transaction based on the results of the determination. For this reason claim 6 is allowed over the prior art. Independent claims 10 and 16 are allowed based on similar reasoning. Claims 7, 11-13, 15, 17-19 and 21 are allowed based on their dependency.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably

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accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Carol See whose telephone number is (571)272-9742. The examiner can normally be reached on Monday - Thursday 6:45 am - 5:15 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/James A. Kramer/ Supervisory Patent Examiner, Art Unit 3693

/Carol See/

Examiner, Art Unit 3693